CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Post Office as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on

Date: Name: Signature September 25, 2001 Lisz M. Davis

M. Jawa

Docket No. 3499-76

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Andrew J.R. Smith et al.

Filed:

May 31, 2001

Group Art Unit: 2161

Serial No:

09/871,427

Examiner:

TBA

For:

METHOD AND SYSTEM FOR PROCESSING RAW FINANCIAL DATA STREAMS TO PRODUCE AND DISTRIBUTE STRUCTURED

AND VALIDATED PRODUCT OFFERING OBJECTS

RESPONSE TO NOTICE TO FILE MISSING PARTS

Commissioner for Patents **BOX: MISSING PARTS** Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts (copy enclosed) dated August 14, 2001 received for the above identified application, enclosed please find the following:

1.	\boxtimes	Executed Declaration and Power of Attorney	
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Copy of Executed Declaration and Power of attorney from a prior application

2. Substitute Formal Drawings

Please make the Declaration and Power of Attorney of record in the above-identified application.

The Commissioner is hereby authorized to charge the late submission surcharge of \$130.00 and any additional fee, or credit any overpayment to Deposit Account No. 50-0521. A duplicate copy of this

Respectfull submitted,

Date:

September 25, 2001

Mitchell S. Feller Reg. No. 42,530

Clifford Chance Rogers & Wells LLP 200 Park Avenue

New York, NY 10166-0153 Telephone: (212) 878-8545

transmittal is enclosed.

DECLARATION AND POWER OF ATTORNEY

As a below named inventor(s), I/We hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original,

first and joint inventor (if plu which a patent is sought on the			oject matter which is claimed and for
STREAMS	TO PRODUC	M FOR PROCESSING I CE AND DISTRIBUTE T OFFERING OBJECT	
the specification of which (ch		_	
attached hereto		was filed on May 31 as Application Serial No and amended on	0. 09/871,427
		PCT Application No. cle 19 on	and and a second a
I hereby state that specification, including the cla	I have revie	wed and understand the delay and amendment r	ne contents of the above-identified eferred to above.
I acknowledge the duraccordance with Title 37, Coo			be material to patentability in
patent or inventor's certificate	listed below a	ind have also identified b	Code § 119 of any application(s) for selow any application for patent or on on which priority is claimed:
Prior Application(s)			
Serial Number	Country	Filing Date	Priority Claimed (Y/N)
60/223,397	United States	August 4, 2000	N
60/227,162	United States		N
I hereby claim the ber	nefit under Titl	e 35, United States Code	s, § 120 of any United States

application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

> Serial Number Filing Date Status

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

And I hereby appoint:

John E. Kidd	Reg. No. 19,916	Gerard P. Norton	Reg. No. 36,621
Victor Siber	Reg. No. 25,149	John T. Johnson	Reg. No. 37,363
Margaret B. Kelley	Reg. No. 29,181	Frank C. Cimino	Reg. No. 39,945
Philip E. Roux	Reg. No. 31,295	Nada Jain	Reg. No. 41,431
Michael J. Pantuliano	Reg. No. 18,971	Mitchell S. Feller	Reg. No. 42,530
Joseph P. Kincart	Reg. No. 43,716	David F. Ries	Reg. No. 43,046
James V. Mahon	Reg. No. 41,966	Anne M. Coughlin	Reg. No. 43,564
Joseph Levi	Reg. No. 41,152	Ira J. Schaefer	Reg. No. 26,802
Victor J. Geraci	Reg. No. 38,157	Steven J. Lever	Reg. No. 46,871
C. Joseph Laughon, II	Reg. No. 31,389	Drew M. Wintringham	Reg. No. 31,894
Leora Ben-Ami	Reg. No. 32,455	Ernest Yakob	Reg. No. 45,893
Robert D. Schaffer	Reg. No. 33,775	Russell DeClerk	Reg. No. 46,364
Michael M. O'Shea	Reg. No. 35,631	Mark Rueh	Reg. No. 43,896
Joel N. Bock	Reg. No. 36,456		106.110. 15,050

all of the firm of Clifford Chance Rogers & Wells LLP, 200 Park Avenue, New York, New York 10166-0153, my attorney with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Address all communications to:

Mitchell S. Feller, Esq. Clifford Chance Rogers & Wells LLP 200 Park Avenue, New York, NY 10166 (212) 878-8545

Wherefore I request that Letters Patent be granted to me for the invention or discovery described and claimed in the foregoing specification and claims, and I hereby subscribe my name to the foregoing specification and claims, declaration, power of attorney, and this petition

Full name of sole or inventor #1 Andrew J.R. Smith

Inventor's signature

AVENIL

Date 28 Aug 2001

Residence 77 Bleecker Street, Apt. 709, New York, NY 10012

Citizenship United Kingdom

Post Office Address 77 Bleecker Street, Apt. 709, New York, NY 10012

Docket No. 3499-76

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I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a nature is sought on the invention entitled:

which a patent is sought on t	he invention er	ititled:		
STREAM	S TO PRODUC	M FOR PROCESSING R. CE AND DISTRIBUTE S' T OFFERING OBJECTS		
the specification of which (cl	·		09/871,427	ile).
		PCT Application No. cle 19 on	_	
I hereby state that specification, including the c		wed and understand the led by any amendment ref		above-identified
I acknowledge the du accordance with Title 37, Co		ll information I know to b egulation, § 1.56.	e material to patent	ability in
I hereby claim priorit patent or inventor's certificate inventor's certificate having a	e listed below a		low any application	for patent or
Prior Application(s)				
Serial Number	Country	Filing Date	Priority Claim (Y/N)	<u>ied</u>
60/223,397	United States	August 4, 2000	N	
60/227,162	United States	August 22, 2000	N	
I hereby claim the be	nofit under Titl	a 35 United States Code	S 120 of any Unita	d Ctatac

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

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Reg. No. 35,631	Russell DeClerk Mark Rueh	Reg. No. 46,364 Reg. No. 43,896
	Reg. No. 25, 149 Reg. No. 29, 181 Reg. No. 31, 295 Reg. No. 18, 971 Reg. No. 43, 716 Reg. No. 41, 966 Reg. No. 38, 157 Reg. No. 31, 389 Reg. No. 32, 455 Reg. No. 33, 775	Reg. No. 25,149 John T. Johnson Reg. No. 29,181 Frank C. Cimino Reg. No. 18,2971 Mada Jain Reg. No. 43,716 David F. Ries Reg. No. 41,966 Anne M. Coughlin Reg. No. 34,152 Ira J. Schaefer Reg. No. 38,157 Steven J. Lever Reg. No. 32,455 Ernest Yakob Reg. No. 35,631 Mark Rueh

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Inventor's signature

Residence 77 Bleecker Street, Apt. 709, New York, NY 10012

Citizenship United Kingdom

Post Office Address 77 Bleecker Street, Apt. 709, New York, NY 10012

Full name of sole or inventor #2 Deane Thomas

Inventor's signature

Residence 308 W. 48th Street, New York, NY 10036

Citizenship United States

Post Office Address 308 W. 48th Street, New York, NY 10036

Full name of sole or inventor #3 Randy Cowan

Inventor's signature

Residence 200 W. 86th Street, New York, NY 10024

Citizenship United States

Post Office Address 200 W. 86th Street, New York, NY 10024

3

Date 9/25/0/

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